Technical Requirements

Overview

This section provides employers with information about how to report members to DRS using an electronic format. DRS can accept two different layouts and several reporting media. The information in this section will help employers decide the best way for them to report retirement information to DRS.

This section describes:

- the two record layouts

  —Single Record Layout (SRL)

  —Multiple Record Layout (MRL);

- the automated reporting media DRS accepts and the data format options associated with this media;
- specific step by step information employers must follow to start using one of the automated reporting media accepted by DRS; and
- each field identified by record type.

If you change your reporting method, please contact ESS to arrange for a test of the new method *before* submitting a regular transmittal report via the new method.

If you need additional copies of this booklet, or if you have questions about the information in the booklet, please contact ESS at (360) 664-7200 or 1-800-547-6657.

The Multiple Record Layout

The Multiple Record Layout (MRL) is Year 2000 compliant and is the recommended layout for employers to use. This is the only layout employers can use to report Plan 3 members. Using MRL allows employers to update an employee's mailing address or name, eliminating the need to complete paper forms.

What the MRL Looks Like

The MRL report structure contains the following record types:

- Summary Record
- Member Profile Record
- Employment Information Record
- Defined Benefit Record
- Defined Contribution Record (used for Plan 3 members only)
- TRS Plan 3 Transfer Record (used for Plan 3 members only)

The Member Profile Record, the Employment Information Record and the TRS Plan 3 Transfer Record are used where applicable. More detail on the use of these records is provided in the record and field description areas of this document. Refer to the next page for a picture view of the various records associated with the MRL.

Record Types of the Multiple Record Layout

This chart provides an overview of the structure for the transmittal reporting records. Detailed layouts for each record follow.

Summary Record	**Member Profile Record**	**Employment Information Record**	**Defined Benefit Record**	**Defined Contribution Record**	**Plan 3 Transfer Record**
Record Type Identifier	Record Type Identifier	Record Type Identifier	Record Type Identifier	Record Type Identifier	Record Type Identifier
Reporting Group (Dept.) Number*	Key**	Key**	Key**	Key**	Key**
Reporting Period*	SSN	SSN	SSN	SSN	SSN
Report Type*	Member Name Change Flag	System Code	System Code	System Code	System Code
Report Version Number*	Member Last Name	Plan Code	Plan Code	Defined Contributions	Transfer Date
Expected Monthly Reports	Member First Name	Type Code	Type Code	Taxed/ Non Taxed Status	
Total Compensation	Member Middle Name	Eligibility Start Date	Earning Period	Investment Program	
Total Member Contributions	Member Name Extension	Eligibility End Date	Status Code	Rate Option	
Total Employer Contributions	Member Name Title	Disability/Leave Start Date (LEOFF only)	Hours (All plans except TRS 1)		
Total Hours Reported	Member Name Suffix	Disability/Leave End Date (LEOFF only)	Days (TRS 1 only)		
Total Records Reported	Address Change Flag	Control Number	Compensation		
Total Days Reported (TRS 1 only)	Address Line 1	Organization Display	Employer Contributions		
	Address Line 2		Defined Benefit Member Contributions		
	Address Line 3				
	City				
	State				
	Zip Code				
	Zip Extension				
	Gender Code				
	Birth Date				

* These four data elements form the *key*, and are part of each record type.

** The *key*, which includes the four data elements noted in the summary record column with an asterisk, must be reported for each record type.

Record Structure of the Multiple Record Layout

Listed below are some basic field requirements that you should be aware of:

- the four fields in each record which follow the record type identifier are common (key) fields and are part of each record type;
- field start and end information is given for employers who will be reporting with fixed length records;
- the maximum field length is shown in the “field length” column for tab-delimited records;
- only tab-delimited records or fixed length records are accepted;
- report signed negative and positive numbers;
- alpha fields must be left justified;
- numeric fields must be right justified; and
- zoned decimals are not accepted.

The charts on the following pages reflect field names, format and field length information for each record type within MRL.

The Summary Record

Summary Record Use

The summary record must be part of every report to DRS. You can send one file with multiple reports but each report must have a summary record. The reporting group number is the data element within the summary record that distinguishes one report from another. Some employers have more than one reporting group number; i.e., a city has a reporting group number for the Public Employees' Retirement System (PERS) and a reporting group number for the Law Enforcement Officers' & Fire Fighters' Retirement System (LEOFF).

Summary Record Layout

	Field	Format	Field Length	Fixed Start	Fixed End
	Record Type Identifier	Character	1	1	1
*	Reporting Group Number (dept.)	Character	6	2	7
*	Reporting Period	yyyymm	6	8	13
*	Report Type	Character	1	14	14
*	Report Version Number	##	2	15	16
	Expected Monthly Reports	##	2	17	18
	Total Compensation	+/-#########.##	13	19	31
	Total Member Contributions	+/-#########.##	13	32	44
	Total Employer Contributions	+/-#########.##	13	45	57
	Total Hours (except TRS 1)	+/-#########.#	12	58	69
	Total Records Reported	#######	7	70	76
	Total Days (TRS 1 only)	+/-#########.#	12	77	88

* These four data elements form the *key,* and are part of each record type.

The Member Profile Record

Member Profile Record Use

This record is required the first time you report an employee. This record is also used to report a change to a member's address, name, birth date or gender code.

Member Profile Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
* Reporting Group Number (dept.)	Character	6	2	7
* Reporting Period	yyyymm	6	8	13
* Report Type	Character	1	14	14
* Report Version Number	##	2	15	16
Social Security Number	#########	9	17	25
Member Name Change Flag	Character	1	26	26
Member Last Name	Character	35	27	61
Member First Name	Character	35	62	96
Member Middle Name	Character	35	97	131
Member Name Extension	Character	3	132	134
Member Name Title	Character	5	135	139
Member Name Suffix	Character	5	140	144
Address Change Flag	Character	1	145	145
Address Line 1	Character	35	146	180
Address Line 2	Character	35	181	215
Address Line 3	Character	35	216	250
City	Character	35	251	285
State Code	Character	2	286	287
Zip Code	#####	5	288	292
Zip Code Extension	####	4	293	296
Gender Code	Character	1	297	297
Birth Date	yyyymmdd	8	298	305

*These four data elements form the *key*, and are part of each record type.

The Employment Information Record

Employment Information Record Use

This record is required the first time you report an employee, and the last time you plan to report an employee. It is also used to update a member's type code, the control number, or organization display information. The leave/disability start and end date fields are used to record disability leave periods for LEOFF members.

Employment Information Record Layout

	Field	Format	Field Length	Fixed Start	Fixed End
	Record Type Identifier	Character	1	1	1
*	Reporting Group Number (dept.)	Character	6	2	7
*	Reporting Period	yyyymm	6	8	13
*	Report Type	Character	1	14	14
*	Report Version Number	##	2	15	16
	Social Security Number	#########	9	17	25
	System Code	Character	1	26	26
	Plan Code	#	1	27	27
	Type Code	##	2	28	29
	Eligibility Start Date	yyyymmdd	8	30	37
	Eligibility End Date	yyyymmdd	8	38	45
	Disability/Leave Start Date (LEOFF only)	yyyymmdd	8	46	53
	Disability/Leave End Date (LEOFF only)	yyyymmdd	8	54	61
	Control Number	Character	6	62	67
	Organization Display	Character	6	68	73

* These four data elements form the *key*, and are part of each record type.

The Defined Benefit Record

Defined Benefit Record Use

This record should be on every report for each member who has been reported with a retirement eligibility start date by your organization. At least one defined benefit record per member must be reported for each earning period being reported. This should continue until a retirement eligibility end date is reported.

Defined Benefit Record Layout

	Field	Format	Field Length	Fixed Start	Fixed End
	Record Type Identifier	Character	1	1	1
*	Reporting Group Number (dept.)	Character	6	2	7
*	Reporting Period	yyyymm	6	8	13
*	Report Type	Character	1	14	14
*	Report Version Number	##	2	15	16
	Social Security Number	#########	9	17	25
	System Code	Character	1	26	26
	Plan Code	#	1	27	27
	Type Code	##	2	28	29
	Earning Period	yyyymm	6	30	35
	Status Code	Character	1	36	36
	Hours (Sys/Plans other than TRS 1)	+/-###.#	6	37	42
	Days (TRS 1 only)	+/-##.#	5	43	47
	Compensation	+/-#######.##	11	48	58
	Employer Contributions	+/-#######.##	11	59	69
	Defined Benefit Member Contributions (Sys/Plans other than Plan 3)	+/-#######.##	11	70	80

* These four data elements form the *key*, and are part of each record type.

The Defined Contribution Record

Defined Contribution Record Use

This record should be on each report for every Plan 3 member who has a retirement deduction. For transferring members, the Defined Contribution Record, the Member Profile Record, and the Plan 3 Transfer Record must be reported the first time you report a transferring member. There is no 90-day period provided for transferring members to make the rate option selection.

Defined Contribution Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
* Reporting Group Number (dept.)	Character	6	2	7
* Reporting Period	yyyymm	6	8	13
* Report Type	Character	1	14	14
* Report Version Number	##	2	15	16
Social Security Number	#########	9	17	25
System Code	Character	1	26	26
Defined Contributions	+/-#######.##	11	27	37
Taxed/Non-taxed Status	Character	1	38	38
Investment Program	Character	4	39	42
Rate Option	Character	1	43	43

* These four data elements form the *key*, and are part of each record type.

The Plan 3 Transfer Record

Plan 3 Transfer Record Use

This record should be part of each transmittal report for every Plan 2 transferring member who is being reported in Plan 3 for the first time. Without the transfer date, DRS will not move a Plan 2 member into Plan 3, and all of the reported information on the current report will be rejected.

The Member Profile Record, the Defined Contribution Record and the Defined Benefit Record with 3 in the plan code field should be on the report for each member being reported with a Plan 3 Transfer Record.

Plan 3 Transfer Record Layout

	Field	Format	Field Length	Fixed Start	Fixed End
	Record Type Identifier	Character	1	1	1
*	Reporting Group Number (dept.)	Character	6	2	7
*	Reporting Period	yyyymm	6	8	13
*	Report Type Code	Character	1	14	14
*	Report Version Number	##	2	15	16
	Social Security Number	#########	9	17	25
	System Code	Character	1	26	26
	Transfer Date	yyyymmdd	8	27	34

* These four data elements form the *key*, and are part of each record type.

The Single Record Layout

The Single Record Layout (SRL) is Year 2000 compliant but Plan 3 members cannot be reported with this layout. For this reason, DRS recommends employers use the MRL.

What the SRL Looks Like

The SRL report structure contains the following record types:

- Summary Record
- Benefit Record

The SRL is organized as one record or transaction and one summary record. Every report must include the summary record and the benefit record(s) for each employee you report to DRS. Refer to the next page for a picture view of the different records associated with the SRL.

Record Types of the Single Record Layout

This chart provides an overview of the structure for the transmittal reporting records. Detailed layouts for each record follow.

Summary Record	Benefit Record
Record Type Identifier	Record Type Identifier
Reporting Group (Dept.) Number	Social Security Number
Reporting Period	Reporting Group (Dept.) Number
System Code	Reporting Period
Report Type	Report Type
Report Version Number	Report Version Number
Expected Monthly Reports	System Code
Total Compensation	Plan Code
Total Member Contributions	Record Sequence Number
Total Employer Contributions	Member Last Name
Total Hours/Days Reported	Member First Name
Total Records Reported	Member Middle Name
	Earning Period
	Type Code
	Status Code
	Compensation
	Member Contributions
	Employer Contributions
	Hours/Days
	Begin Date
	End Date
	Gender Code
	Birth Date

Record Structure of the Single Record Layout

Listed below are some basic field requirements you should be aware of:

- field start and end information is given for employers who will be reporting with fixed length records;
- the maximum field length is shown in the "field length" column for tab-delimited records;
- only tab-delimited records or fixed length records are accepted;
- report signed negative and positive numbers;
- alpha fields must be left justified;
- numeric fields must be right justified; and
- zoned decimals are not accepted.

The charts on the following pages reflect field names, format and field length information for each record type within SRL.

The Summary Record

Summary Record Use

The summary record must be part of every report to DRS. You can send one file with multiple reports but each report must have a summary record. The reporting group number is the data element within the summary record that distinguishes one report from another. Some employers have more than one reporting group number; i.e., a city has a reporting group number for PERS and a reporting group number for LEOFF.

Summary Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Reporting Group Number (dept.)	Character	6	2	7
Reporting Period	yyyymm	6	8	13
System Code	Character	1	14	14
Report Type	Character	1	15	15
Report Version Number	##	2	16	17
Expected Monthly Reports	##	2	18	19
Total Compensation	+/-#########.##	13	20	32
Total Member Contributions	+/-#########.##	13	33	45
Total Employer Contributions	+/-#########.##	13	46	58
Total Hours/Days	+/-#########.#	12	59	70
Total Records Reported	#######	7	71	77

The Benefit Record

Benefit Record Use

This record should be part of every report for each member who has been reported with a retirement eligibility start date by your organization. At least one benefit record per member must be reported for each earning period being reported. This should continue until a retirement eligibility end date is reported.

Benefit Record Layout

Field	Format	Field Length	Fixed Start	Fixed End
Record Type Identifier	Character	1	1	1
Social Security Number	#########	9	2	10
Reporting Group (Dept.) No.	Character	6	11	16
Reporting Period	yyyymm	6	17	22
Report Type	Character	1	23	23
Report Version Number	##	2	24	25
System Code	Character	1	26	26
Plan Code	#	1	27	27
Record Sequence Number	#######	7	28	34
Member Last Name	Character	35	35	69
Member First Name	Character	35	70	104
Member Middle Name	Character	35	105	139
Earning Period	yyyymm	6	140	145
Type Code	##	2	146	147
Status Code	Character	1	148	148
Compensation	+/-#######.##	11	149	159
Member Contributions	+/-#######.##	11	160	170
Employer Contributions	+/-#######.##	11	171	181
Hours/Days	+/-###.#	6	182	187
Begin Date	yyyymmdd	8	188	195
End Date	yyyymmdd	8	196	203
Gender Code	Character	1	204	204
Birth Date	yyyymmdd	8	205	212

Choose From Three Data Format Options

DRS will accept three different formats from automated systems. The chart below describes the typical system requirements used to produce reports in each format.

	ASCII text format — tab delimited	ASCII text format — fixed length	EBCDIC format — fixed length
Typical system requirements	PC-based spreadsheet or database programs	Mainframe or mini-computer systems Also PC-based database or spreadsheet programs	Mainframe or mini-computer systems

Employers can use either the MRL (recommended) or the SRL, and the data format that works best within your environment.

Choose From Two Reporting Media Options

DRS can process transmittal report information via electronic transmission or diskette. The recommended medium is electronic transmission, specifically File Transfer Protocol (FTP). Electronic transmission of retirement information increases efficiency and improves accuracy.

DRS recommends using the ASCII text format (tab delimited) if you currently use the paper report. This type of report can easily be created using spreadsheet software.

Electronic Reporting Choices

Employers can choose from two methods of electronic transmission:

- File Transfer Protocol (FTP); or
- dataset.

Reporting via FTP requires employers to use the ASCII text format. The FTP method allows employers to send their transmittal report over the Internet using FTP software.

Employers who choose to report via dataset must use the EBCDIC fixed length format. Employers must be able to transmit the transmittal report file directly to a system 390 mainframe in Olympia, and have an account with the Washington State Department of Information Systems (DIS). Refer to page 42 for additional information.

Creating an ASCII Format Report Using a Spreadsheet

Employers can use spreadsheet software and a personal computer to create a file containing their detailed transmittal transactions, and summary record. The file must be saved as ASCII text, in tab delimited format. This type of file can be submitted via diskette or FTP (one of the electronic transmission methods).

The sample on the following page reflects how a transmittal report created with a spreadsheet may appear.

Points for use in creating a spreadsheet

- By using the record type identifier "L," you can create headings to help you use your spreadsheet. The DRS system will not process information in any row with an L in the Record Type Indicator field. (See the description of the Record Type Identifier field on page 8—37.)
- Many spreadsheets will delete leading zeroes from numbers you enter. (For instance, the zero will be removed from 07.) As long as you are reporting in ASCII text, tab delimited format, DRS can read these fields, even if the leading zeroes do not appear. You may encounter this with fields such as Report Version Number, Expected Monthly Reports, Record Sequence Number, Social Security Number or Type Code, among others.
- If you would like to have leading zeroes show on your spreadsheet, review the features of your spreadsheet application to determine how to reformat the way numbers are displayed in the cells.
- Because there are more fields in the detailed records than in the summary record, the columns do not need to line up. (See the sample on the following page.)
- When the report is complete, save your file as ASCII text, with tab delimiters. Follow the instructions provided with your software to save the file in this format.

MRL ASCII Tab Delimited Format - Using a Spreadsheet

Totals appear here for these columns of detailed information

L **Summary Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	Exp	Total Comp	Total Mem Contrib	Total Emp Contrib	Total Hours	Total Records	Total Days
S	000001	199807	R	01	01	4000.00	260.00	477.20	160.0	0000006	20.0

L **Member Profile Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	Name Change	Last Name	First Name	Middle Name	Name Extension	Name Title	Name Suffix	Address Change	Address Line 1	Address Line 2	Address Line 3	City	State	Zip Code	Zip Ext	Gen	Birth Date
M	000001	199807	R	01	000000001	Y	Test	Marc	J				Y	PO Box 111			Olympia	WA	98504	8380	M	19580204

L **Employment Information Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Plan	Type Code	Start Date	End Date	Dis Start	Dis End	Control Number	Org Display
E	000001	199807	R	01	000000002	T	1	71	19980705					

L **Defined Benefit Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Plan	Type Code	Earn Period	Status Code	Hours	Days	Member Comp	Employer Contrib	Def Bene Contrib
B	000001	199807	R	01	000000002	T	1	71	199807	A		20.0	2000.00	238.60	120.00
B	000001	199807	R	01	000000001	T	3	71	199807	A	160.0		2000.00	238.60	

L **Defined Contribution Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Def Contrib	Tax Status	Invest Prgm	Rate Option
C	000001	199807	R	01	000000001	T	140.00		WSIB	D

L **Transfer Record**

L	Report Group	Report Period	Rpt Type	Rpt Ver	SSN	System	Transfer Date
T	000001	199807	R	01	000000001	T	19980115

SRL ASCII Tab Delimited Format - Using a Spreadsheet

Summary Record

L L	Report Group	Report Period	System	Report Type	Rpt Ver	Exp	Total Comp	Total Mem Contrib	Total Empl Contrib	Total Hrs/Days	Total Records
S	2483	199807	P	R	01	01	28443.11	1322.61	2133.23	1559.7	0000009

Totals appear here for these columns of detailed information

Detailed Transmittal Transactions

L L	SSN	Report Group	Report Period	Report Type	Rpt Ver	Sys	Plan	Sequence	Last Name	First Name	Mid Name	Earn Per	Type	Status	Comp	Mem Contrib	Empl Contrib	Hrs/ Days	Begin Date	End Date	Gen	Birth Date
T	666000000	2483	199807	R	01	P	2	0000001	Becky	John	Adam	199807	07	A	1749.77	81.36	131.23	173.3				
T	666001111	2483	199807	R	01	P	2	0000002	Pater	James	Monroe	199807	07	A	2384.41	113.88	178.83	173.3				
T	666002222	2483	199807	R	01	P	2	0000003	Pot	Marcus	Miller	199807	07	A	2201.00	102.35	165.08	173.3				
T	666003333	2483	199807	R	01	P	2	0000004	Preach	Fredricke	Xavier	199807	07	S	3564.03	165.73	267.30	173.3		19980630		
T	666004444	2483	199807	R	01	P	2	0000005	Jool	Michael		199807	07	A	2563.00	119.18	192.23	173.3				
T	666005555	2483	199807	R	01	P	2	0000006	Pert	Raymond	Stuart	199807	07	A	2381.64	110.75	178.62	173.3				
T	666006666	2483	199807	R	01	P	2	0000007	Somes	David	Michael	199807	07	A	3432.47	159.61	257.44	173.3				
T	666007777	2483	199807	R	01	P	2	0000008	Sea	Fenny	Y	199807	07	A	5833.34	271.25	437.5	173.3				
T	666008888	2483	199807	R	01	P	2	0000009	Reilley	Stephen	Francis	199807	07	A	4333.34	201.50	325.00	173.3	19980601		M	19630327

Reporting Via FTP

How to Report Via FTP

The FTP method is recommended for employers who are currently reporting via the DRS Bulletin Board System, diskette, tape or paper. To submit a transmittal report via FTP, create a single electronic file containing both the detailed transmittal transactions and the summary record information. Use the appropriate data format option described on page 18. Save the file and transmit to DRS by the due date (the 15^{th} of each month).

What You Can Report Via FTP

You can use FTP to submit:

- regular transmittal reports; and
- correction transmittal reports.

What You Will Need

To submit via FTP you need:

- computer hardware and software that can prepare an electronic file in the required data format;
- an Internet connection with FTP software; and
- a completed DRS Data Sharing Agreement.

Advantages of FTP Reporting

FTP reporting allows you to eliminate the time and costs of mailing a tape, diskette, or paper report. FTP reporting also allows DRS to update members' accounts and respond to your report more effectively.

Getting Started with FTP Reporting

Step 1—Establish a DRS user ID

FTP reporting requires employers to establish a user ID with DRS and to provide an Internet e-mail address. Call ESS at (360) 664-7200 or 1-800-547-6657 to begin the process of establishing a user ID.

Step 2—Complete a DRS Data Sharing Agreement

Before reporting via FTP, you will need to complete a data sharing agreement with DRS. This agreement spells out the responsibilities of both parties when sharing data. Call ESS for an agreement form.
A security profile (includes your user ID, password, and directory path/location you will transmit your file to) is necessary in order for DRS to accept your electronic file via FTP. Upon receipt of the signed data sharing agreement, your security profile will be established.

Step 3—Prepare Your Transmittal Information

The preliminary step of preparing your transmittal information is the same for FTP reporting as for any other method. You will use your payroll information to determine the detailed transmittal reporting transactions you need to submit to DRS.

Step 4—Create a Summary Record

Each report to DRS includes two parts:

- the detailed transmittal transactions for each member; and
- the summary record totals (such as compensation and contributions) that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to transmit to DRS, create a summary record to include with your detailed transactions.

Step 5—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and the summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file.

Note: The data format options DRS will accept are described on page 8—38. The formats standardize the order of the data in your report so that DRS can read your electronic file and process the transactions. Your choice will be based on the type of hardware and software you have available.

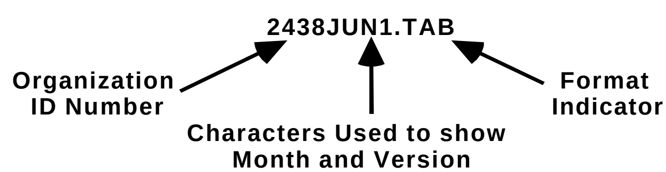
Step 6—Name Your FTP File

Name your electronic files using the following convention:

- the first 4 characters indicate the organization identification number assigned by DRS. If you do not know your organization ID, contact ESS at (360) 664-7200 or 1-800-547-6657;
- the next 4 characters should reflect the month and version number; and
- the three-character extension indicates format of the data.

—TAB for ASCII tab delimited format
—FIX for ASCII fixed length format

Example:



Step 7—Submit a Test FTP file to DRS

If you are changing to FTP reporting from another method, contact ESS so they can work with you to send a test file. ESS will pre-edit the test file to ensure the file can be read and the data is in the correct format. You should continue to report using your current method until you are notified by ESS of a successful test. *Test file names should include the word test after your organization id: 2438TEST.TAB or 2438TEST.FIX.*

Step 8—Begin Regular Reporting via FTP

Once a test is successful, you will be notified that you can begin using FTP to send transmittal reports. Each weeknight, DRS will search your directory for files with appropriate file names. DRS will process the file the evening of the day you transmit the file. To confirm receipt of the file, DRS generates an E-mail message to you approximately 6:00 PM the day you send your file.

After the file is processed, DRS will delete the file from your assigned directory. If you discover the file you sent has an error, re-transmit a correct file with the same file name and it will replace the original file you sent (only if the original file has not been processed).

Reporting via Dataset

How to Report via Dataset

The dataset method of electronic reporting is recommended for an employer who has already established an account with DIS, and is able to create and send an electronic file to the DIS IBM system 390, MVS mainframe computer in Olympia. If your organization does not have an account with DIS, the FTP process is recommended.

To submit your transmittal report via dataset, create a single electronic file containing both detailed transactions and the summary record information. Use the appropriate data format option described on page 8—38. Save the file and transmit the file to DRS by the due date (15th of each month).

What You Can Report via Dataset

You can use a dataset to submit:

- regular transmittal reports; and
- correction transmittal reports.

What You Will Need

To submit datasets you will need:

- computer hardware and software that can prepare a dataset in the necessary data format;
- a DIS account;
- a completed DRS Data Sharing Agreement; and
- the ability to transmit datasets to the DIS IBM system 390, MVS mainframe computer in Olympia if the dataset is created on your own computer, or create the dataset on the DIS computer.

Advantages of Dataset Reporting

Dataset reporting allows you to eliminate the time and costs of mailing a diskette, tape, or paper report. Dataset reporting also allows DRS to update members' accounts and respond to your report more effectively.

Getting Started with Dataset Reporting

Step 1—Establish a DIS Account

Before you can transmit transmittal reports via dataset, you must have an account with DIS. A DIS-provided user ID is also needed to create a dataset on the DIS mainframe. This account and user ID are separate from any agreements with DRS. If you do not already have an account with DIS, call ESS at (360) 664-7200 or 1-800-547-6657 to begin the process.

Step 2—Complete a DRS Data Sharing Agreement

Before reporting via dataset, you will need to complete a data sharing agreement with DRS. This agreement spells out the responsibilities of both parties who are sharing data. Contact ESS at (360) 664-7200 or 1-800-547-6657 and an agreement form will be sent to you.

Once DRS has received a signed data sharing agreement, your security profile will be established. A security profile is necessary for DRS to accept your electronic file via dataset.

Step 3—Prepare Your Transmittal Information

The preliminary step of preparing your transmittal information is the same for dataset reporting as for any other method. You will use your payroll information to determine the detailed transmittal reporting transactions you need to submit to DRS.

Step 4—Create a Summary Record

Each report to DRS includes two parts:

- the detailed transmittal transactions for each member; and
- the summary record totals (such as compensation and contributions) that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to transmit to DRS, create a summary record to include with your detailed transactions.

Step 5—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and the summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file. The EBCDIC data format must be used to report via the dataset method.

Step 6—Name Your Dataset

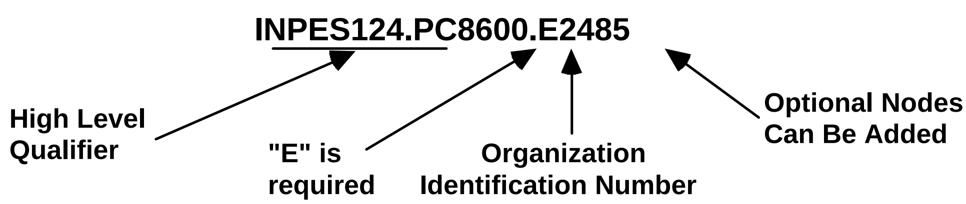
Please name your dataset using the following convention:

- The file name must begin with the following two qualifiers: INPES124.PC8600. Be sure to include a period between each qualifier.

- Begin the next qualifier with an E. The following 4 digits are the employer's organization number which is assigned by DRS and is part of the data sharing agreement.

- You have the option of using additional qualifiers to identify your dataset. Each qualifier can be up to 8 characters, and must start with an alpha/numeric character. Separate each qualifier with a period. The total length of the name must not be more than 44 characters.

Example:



Step 7—Submit a Test Dataset to DRS

If you are changing to dataset reporting from another method, contact ESS so they can work with you to send a test file. ESS will pre-edit the test file to ensure the file can be read and the data is in the correct format. You should continue to report using your current method until you are notified by ESS of a successful test. *Test file names should include PC8400 after INPES124: INPES124.PC8400.E2485.*

Step 8—Begin Regular Reporting by Dataset

Once a test is successful, you will be notified that you can begin using datasets to send transmittal reports. Each weeknight, DRS will search for datasets with appropriate file names. DRS will process the file the evening of the day you transmit the file.

Reporting by Diskette

How to Report by Diskette

To submit your transmittal report by diskette, create a single electronic file containing your detailed transmittal transactions and the summary record information. Use one of the data formats described on page 8—38 and save the file on a diskette. Mail the diskette to DRS so that it is received by the due date (15th of each month).

What You Can Report by Diskette

A diskette can be used to submit:

- regular transmittal reports; and
- correction transmittal reports.

What You Will Need

To report by diskette you will need:

- a personal computer or other computer;
- the ability to save your transmittal report as an electronic file in one of the formats DRS can accept. (If you use a spreadsheet or other program to prepare your payroll, you may already be able to save data in one of the ASCII formats described beginning on page 8—38); and
- a completed DRS Data Sharing Agreement.

  Note: DRS can accept only 3.5 inch diskettes formatted for PC.

Advantages of Reporting by Diskette

Reporting by diskette allows you to eliminate the time and costs of preparing a paper report. By limiting the manual intervention involved in submitting your retirement information on paper, you increase the potential for accuracy.

If an employer submits data via a diskette, DRS recommends you consider transferring the information electronically. Electronic reporting allows DRS to update members' accounts and provide Transmittal Edit Message Reports to employers more efficiently

How To Start Reporting via a Diskette

Step 1—Complete a DRS Data Sharing Agreement

Before reporting via diskette, you will need to complete a data sharing agreement with DRS. This agreement spells out the responsibilities of both parties who are sharing data. Call ESS at (360) 664-7200 or 1-800-547-6657 and an agreement form will be sent to you.

Step 2—Prepare Your Transmittal Information

The preliminary step of preparing your transmittal information is the same for diskette reporting as for any other method. You will use your payroll information to determine the detailed transmittal reporting transactions you need to report to DRS.

Step 3—Create a Summary Record

Each report to DRS includes two parts:

- the detailed transmittal transactions for each member; and
- the summary record totals (such as compensation and contributions) that equal the sum of the detailed transactions.

After you have determined the detailed transactions you need to submit to DRS, create a summary record to include with your detailed transactions.

Step 4—Create an Electronic File of Your Transmittal Report

Save both the detailed transactions and your summary record in a single electronic file. You may place the summary record at either the beginning or the end of the file.

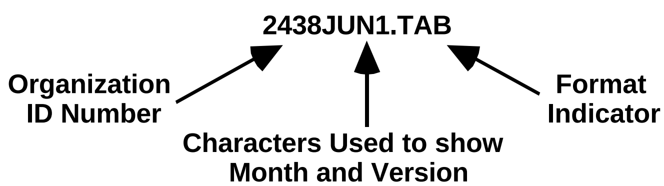
Note: The data format options DRS will accept are described on page 8—38. The formats standardize the order of the data in your report so that DRS can read your electronic file and process the transactions. Your choice will be based on the type of hardware and software you have available.

Step 5—Name Your File

Name your electronic files using the following convention:

- the first 4 characters indicate the employer's organization number which is assigned by DRS. If you do not know your organization number, contact ESS at (360) 664-7200 or 1-800-547-6657;
- the next 4 characters should reflect the month and version number; and
- the three-character extension indicates format of the data.
  —TAB for ASCII tab delimited format
  —FIX for ASCII fixed length format

Example:



Step 6—Prepare Your Diskette

Save your transmittal report on a diskette as one file (you can combine more than one report in your file). Send only the current month's report. If you have used the diskette for previous reports, delete any old information still stored on the diskette.

Step 7—Label the Diskette

Each diskette you send to DRS must have an outside label. Include the following information on the label:

- employer name;
- employer address;

- file name for the electronic file on the diskette;
- report period; and
- your DRS-assigned organization ID. If you need to verify your organization ID, contact ESS at (360) 664-7200 or 1-800-547-6657.

Step 8—Address and Mail Your Diskette

Be sure to use appropriate packaging to ensure that your diskette is not damaged. The address for mailing will depend upon the carrier you use.

Federal Express or United Parcel Service		*United States Postal Service*
DRS Transmittal Unit 6825 Capitol Blvd. Tumwater, WA 98501	or	DRS Transmittal Unit P.O. Box 48380 Olympia, WA 98504-8380

Step 9—Submit a Test Diskette

If you are changing to diskette reporting from another method, contact ESS so they can work with you to send a test diskette. ESS will pre-edit the test file to ensure the file can be read and that the data is in the correct format. You should continue to report using your current method until you are notified by ESS of a successful test. *Test file names should include the word test after your organization id: 2438TEST.TAB or 2438TEST.FIX.*

Step 10—Begin Regular Reporting by Diskette

Once a test is successful, you will be notified that you can begin using a diskette to send transmittal reports. ESS will return your diskette after each transmittal report has been processed.

Field Descriptions

Below are the descriptions of each field within the transmittal report. The fields are listed in alphabetical order. The fields that are contained in more than one record type are identified with an **.

Each record has a unique record type identifier. If you are using a spreadsheet to create the transmittal report or the file contains rows that are not filled with transmittal data (such as column headings), mark them with “L” so the DRS system will not read them as data. See the example on page 8—40.

Address Change Flag

Use “Y” to update a member’s mailing address or report “N” if you have included member address information, but do not want to update the DRS member database.

Address Lines

Three fields are provided for mailing address information.

Begin Date

Use this field to report the date a member begins employment that is eligible for retirement system coverage. The begin date should only be submitted on the first transmittal report. (See the note for LEOFF members below.) To avoid reported data being rejected, the first time you report an employee who is eligible for retirement system membership, ensure a valid begin date, gender code and birth date are on the transmittal report.

If the employee needs to complete an Enrollment Form, make sure the begin date you submit on the transmittal matches the date you enter on the form under the heading “First Date of Employee Eligibility.”

Note: For LEOFF employers—This field is also used to indicate the date a LEOFF Plan 1 member begins an authorized disability leave of more than three days. It is also used to indicate the date a LEOFF Plan 1 or Plan 2 member begins leave without pay of more than three days. Status code E for Plan 1 and status code B for Plan 2 must be reported with the begin date (SRL only).

Birth Date

Use this field to provide the member’s birth date.

City

Use this field to report the name of the city within the mailing address for the member.

Compensation

In general, the salaries or wages earned by a member for personal services during a calendar month, payroll period, or fiscal year are reported as compensation. Each retirement system and plan has different requirements for reporting compensation. If no compensation is to be reported, enter zeroes in this field.

Control Number

Use this field to indicate how you want DRS to sequence members' annual statements (these statements are mailed to employers for distribution to members). The Reporting Group, Control Number and the last name of a member are the three qualifiers used by DRS for sequencing the statements. For an example of how the control number is used, see DRS Notice 97-005, *Members' Annual Statements and Sequencing Information*.

Days

For TRS Plan 1 members, service is reported in days. Use this field to report the days the TRS Plan 1 member worked during the earning period being reported. Days must be reported to the nearest tenth. If no days of service need to be reported, enter zeroes in this field.

Defined Benefit Member Contributions

Member contributions for members of systems and plans other than Plan 3 must be reported in this field. (Plan 3 member contributions are reported as part of the defined contribution record.)

Contributions must be the product of the following calculation:

> *contributions = (compensation) x (member contribution rate),*
>
> calculated to four decimal points and rounded to two decimal points.

Refer to Chapter 6 for rate tables showing which rates apply to each earning period. If no contributions are to be reported, enter zeroes in this field.

Defined Contributions

Use this field to report member contributions for Plan 3 members only. Once a member transfers to Plan 3, all member contributions should be reported in Plan 3—including any contributions on earnings as a Plan 2 member.

- **When to begin reporting defined contributions**
  Plan 3 members can take up to 90 days to select their rate option. Because of this, member contributions may not be reported on the first transmittal report. Member contributions must be deducted in the payroll cycle the 90th day falls in or when the member selects a rate option, which ever occurs first.

  Note: Employers must pay employer contributions into the defined benefit portion of Plan 3 from the first day of the employee's employment in an eligible position.

  Plan 2 members who choose to transfer to Plan 3 must select their rate option at the same time they choose to transfer. This is true, even if the member is on a leave of absence. The rate option and the investment program selected by the member must be reported on the same report as the transfer date. This requirement allows the member's Plan 2 contributions to be forwarded to the investment program they selected.

- **What rate to use when computing defined contributions**
  All defined contributions for members in Plan 3 must be calculated on the rate in effect at the time the compensation is paid. If you need to adjust contributions previously paid, base your corrections on the contribution rate in effect when the original compensation was paid.

Disability/Leave End Date

Use this field to report the leave/disability end date. Disability leave and other types of leave for LEOFF members must be reported if the period of leave exceeds three days.

Disability/Leave Start Date

Use this field to report the leave/disability start date. Disability leave and other types leave for LEOFF members must be reported if the period of leave exceeds three days.

Earning Period

The earning period is the year and month in which the compensation was earned. Only one earning period can be reported per transaction. Create transactions for each earning period that needs to be reported.

Eligibility End Date

Use this field to report the date a member ends employment that is eligible for retirement system coverage. This date may be equal to the employment termination date or an earlier date if the employee is originally hired into an eligible position and later moves into an ineligible position. The end date should be on the last transmittal report you expect to use for a member.

Eligibility Start Date

Use this field to report the date a member begins employment that is eligible for retirement system coverage. This date may be equal to the employment start date, or a later date if the employee is originally hired into an ineligible position and later is hired into an eligible position. The start date must be on the transmittal report for each member you are reporting for the first time. If you report a member without a begin date, all of the information on the transmittal report will be rejected.

Employer Contributions

Employer contributions are due on all compensation reported for each earning period.

Contributions must be the product of the following calculation:

> *contributions = (compensation) x (employer contribution rate),*
>
> computed to four decimal points and rounded to two decimal points.

Refer to Chapter 6 for rate tables showing which rates apply to each earning period.

End Date

Use this field to report the date a member ends employment that is eligible for retirement system coverage. The end date should only be submitted on the last transmittal report. (See the note for LEOFF members below.)

When separating a member from the transmittal report, report the end date and status code S. The year and month of the earning period on the reported transaction must match the year and month of the end date.

Note: For LEOFF employers—This field is also used to indicate the end date of an authorized disability leave of more than three days for LEOFF Plan 1 members. It is used to indicate the end date for leave without pay of more than three days for LEOFF Plan 1 or Plan 2 members. Status code E for Plan 1 and status code B for Plan 2 must be reported with the end date.

Expected Monthly Reports

- Employers who are not using the multiple reporting option should always enter 01 in the Expected Monthly Reports field.

- Employers submitting a correction report should always enter 01 in the Expected Monthly Reports field.

- Employers using the multiple reporting option must use the Report Version Number and Expected Monthly Reports fields to identify which report this is in the month's sequence of reports.

Example: 01 of 03 (first report of three expected reports for the month).

Gender Code

Use this field to provide the member's gender. Valid values: F or M

Hours

For all systems and plans except TRS Plan 1, service is reported in hours. Use this field to report the hours the member worked during the earning period being reported. Hours must be reported to the nearest tenth. If no hours of service need to be reported, enter zeroes in this field.

Hours or Days

Report the number of hours or days for which a member receives compensation. Hours or days must be reported to the nearest tenth. If no hours or days of service need to be reported, enter zeroes in this field.

Note: All systems except TRS Plan 1 report hours. Days should be reported for TRS Plan 1 members.

Investment Program

Fill this field with the code "WSIB" to direct member contributions to the Washington State Investment Board.

Fill this field with the code "SELF" to direct member contributions to the Self-Directed Investment Program.

If a non-transferring Plan 3 member fails to select an investment program within 90 days of eligibility, your system must report "WSIB."

Member Contributions

Member contributions are due on all compensation reported for each earning period.

Contributions must be the product of the following calculation:

contributions = (compensation) x (member contribution rate),

calculated to four decimal points and rounded to two decimal points.

Refer to Chapter 6 for rate tables showing which rates apply to each earning period. If no contributions are to be reported, enter zeroes in this field.

Member Name Change Flag

Use “Y” to update the member’s name or report “N” if you have included member name information, but do not want to update the DRS member database.

Member Name Extension

Use this field to provide the legal extension of the member’s name, such as III, Sr. or Jr. Do not report extensions earned through education; i.e., Dr., DDM.

Member Name—Last/First/Middle

The member name identifies the employee being reported. Three fields (Last Name, First Name, Middle Name) can be used to report the member name. The middle name is not required.

Member Name Title

Use this field to report a formal name or abbreviation used in front of the full name, such as “Dr.” or “Rev.”

Member Name Suffix

Use this field to report any additional initials or abbreviation indicating degrees earned through the educational process, such as “Ph.D.”

Organization Display

Use this field in conjunction with the Control Number field for purposes of managing the distribution of annual statements. DRS displays the information in this field on the bottom of the member’s annual statement.

Plan Code**

Use this field to provide the plan number of the system in which the member participates. Valid values: 1, 2, or 3.

Rate Option

There are currently six rate options: A, B, C, D, E or F. Fill this field with the applicable value, to indicate the rate option the Plan 3 member has selected. If a non-transferring member fails to select a rate option within 90 days of eligibility, your system must report A.

- **Option B and C—coordinating rate changes with birth dates**
  For members choosing options B and C, rates must increase following the 35th and 45th birthdays. If a rate change is necessary following a member birthday, you will begin using the new rate on the first of the following month.

  <u>Example:</u> if a member who has chosen option B turns 35 on January 15, you will deduct 6 percent contributions for all reportable compensation beginning on February 1.

Record Sequence Number

The record sequence number identifies the order of transaction entries on the transmittal report. Sequence numbers must be listed in ascending order. Sequence numbers within one retirement plan cannot be duplicated.

Record Type Identifier

—Fill this field with a “B” to identify the Defined Benefit Record.
—Fill this field with a “C” to identify the Defined Contribution Record.
—Fill this field with a “E” to identify the Employment Information Record.
—Fill this field with a “M” to identify the Member Profile Record.
—Fill this field with a “S” to identify the Summary Record.
—Fill this field with a “T” to identify the Plan 3 Transfer Record within the MRL or to identify the Benefit Record within the SRL.

Note: Fill this field with a “L” to identify rows with column headings or rows you do not want DRS to process.

Report Type**

This field is used to indicate whether the report is a regular transmittal report or a correction report. Valid values: R, C.

R—Regular transmittal report
C—Correction report

You may always include correcting transactions within your regular reports. In addition, DRS will accept separate correction reports which allows you to submit correcting transactions any time during a month. Use the Report Type field to identify the type of report you are submitting.

Report Version Number**

DRS can arrange for employers who report electronically to submit multiple regular transmittal reports for each calendar month. The Report Version Number and Expected Monthly Reports fields identify the expected number of regular reports for a specific month.

Note: To use the multiple reporting option you must make prior arrangement with DRS. For additional information, contact the ESS at (360) 664-7200 or 1-800-547-6657.

- Employers who are not using the multiple reporting option should always enter 01 in the Report Version Number field.

- Employers submitting a correction report should always enter 01 in the Report Version Number field. (Correction reports are given version numbers by the DRS system.)

- Employers using the multiple reporting option, must use the Report Version Number to identify which report this is in the month's sequence of reports.

Example: 01 of 03 (first report of three expected reports for the month). Refer to Expected Monthly Reports definition.

Reporting Group (Dept.) Number**

This is a DRS-assigned number and is system specific. An employer who participates in PERS and LEOFF has a specific department number for each system.

- Fixed length ASCII format—The field length must be 6 characters. If the reporting group (department) number is only 4 characters long, add blank spaces at the end. Example: 9076 ~~bb~~.

Reporting Period**

The reporting period identifies the year and month of the transmittal report. The same reporting period should be used for all entries in the reporting month even if more than one earning period is reported.

Social Security Number (SSN) **

The member's Social Security number must be 9 digits in length. The Social Security number entered on the transmittal must match the number on the member's Social Security card and the number identified on the DRS Enrollment Record.

State

Use this field to report the state abbreviation within the mailing address.

Status Code

Status codes identify the status of the compensation, contributions, and hours or days being reported. Only one status code can be reported per transaction. If more than one status code needs to be reported for a member, use additional transactions for each status code.

System Code**

The system code identifies the retirement system being reported.

Taxed/Non-taxed Status

Fill this field with a "T" to indicate that member contributions are taxed. Leave the field blank if the member contributions are deferred from federal income tax.

Total Compensation

Enter the grand total (sum of the transactions within the benefit records) of member compensation for all plans reported on the transmittal report.

Total Days

Enter the grand total of days for TRS Plan 1 members reported within the Defined Benefit Record.

Total Employer Contributions

Enter the grand total (sum of the transactions within the benefit records) of employer contributions for all plans reported on the transmittal report.

Total Hours

Enter the grand total of hours for all plans (except TRS Plan 1) reported within the Defined Benefit Record.

Total Hours/Days

Enter the grand total of hours/days for all plans within the Benefit Record.

For TRS employers, Plan 1 members are reported with days, Plan 2 and Plan 3 members are reported with hours. If both plans are included on a report:

1. Total the days for the Plan 1 members and separately total the hours for Plan 2 and Plan 3 members.

2. Take the Plan 1 days total, and add that figure to the Plan 2 and Plan 3 hours total. Do *not* convert days to hours or hours to days.

Note: This total is used in a balancing process to verify data transmitted in the reporting process; this total does not affect service posted to members' accounts.

Total Member Contributions

Enter the grand total of member contributions for all plans included in the detailed transactions on the transmittal report. Include member contributions from both the Defined Benefit Record and the Defined Contribution Record if you are reporting Plan 3. If you are not reporting Plan 3, the sum of all detailed transactions in the Benefit Record should be reflected in this field.

Total Records Reported

Enter the total number of detailed transactions on the transmittal report.

Transfer Date

Fill this field with the date the member is transferring from Plan 2 to Plan 3, based on the Enrollment/Transfer form completed by the member.

Type Code**

The Type Code identifies the type of employer, and in some cases, the type of work performed by the member.

Zip Code

Use this field to report the zip code within the mailing address for the member.

Zip Extension

Use this field to report the zip code extension within the mailing address for the member.

Blank page